

Montana State Auditor's Office
Securities Department
840 Helena Avenue
Helena, MT 59601

(406) 444-2040
(800) 332-6148
(406) 444-5558 (fax)
www.sao.state.mt.us

COMPLAINT FORM

Please print or type

Today's date: _____

Investor Information

Name of Investor: _____

Address: _____

City/Town _____ State: _____ Zip code: _____

Phone: (Day) _____ (Eve.) _____

Best time to call: _____ Email: _____

Name of person completing this form, if different than investor: _____

_____ Relationship to investor: _____

Complaint Against

Name of business: _____

Name of person you dealt with: _____

Address: _____

City/Town: _____ State: _____ Zip code: _____

Phone: _____

Your Complaint

Date you were first contacted: _____

Amount invested: _____ Date you invested: _____

How were you contacted? Phone, In person, Internet (Circle one) Other: _____

Who offered and/or sold you this investment? _____

Did you initiate contact or were you contacted by firm/person? _____

What did you buy or what were you offered? Stock, Bond, Mutual Fund, Limited Partnership, Membership Units, Certificate of Deposit, Viatical, Variable Annuity, (circle one) Other: _____

How did you pay for investment? Personal check, cashiers check, wire transfer, cash, securities. Other: _____

Did you sign any document? Yes No (Circle one)

If yes, what did you sign? (Attach copies, if available) _____

Did you receive any materials describing the investment? Yes No (Circle one)

If yes, describe materials or attach copies to complaint. _____

Please provide a detailed explanation of your complaint. Include names, addresses, dates, amounts. Be sure to describe what you were told about the investment and transaction: description of company, type of business, risks of investment, guarantees of profit from investment, names of people involved in company.

Please send or fax complaint to State Auditor's Office. See first page for address and fax number.